

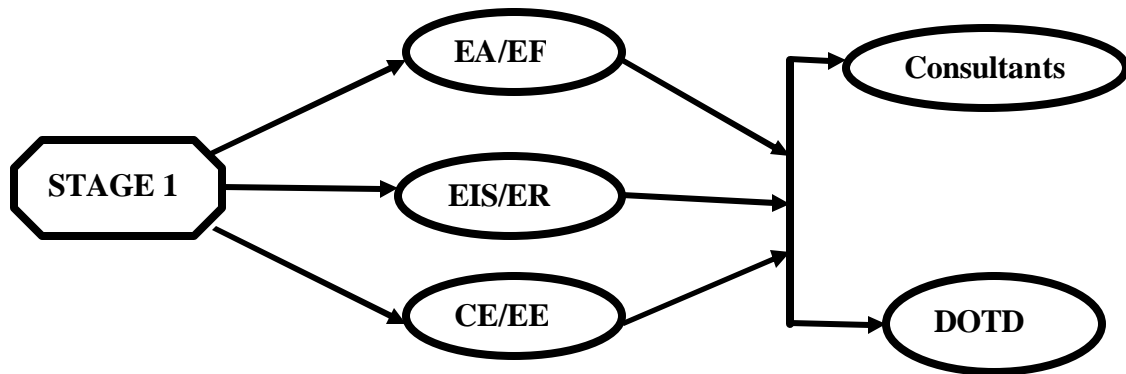
## **Appendix IV: Team Building Scenarios**

### **1     *Stage 1***

Stage 1 takes a project through the planning and environmental assessment process. The outcome from Stage 1 will identify a preferred alignment for the project with a clear description of scope, budget, and major design features. From the environmental standpoint, Federal-aid projects will be classified as an Environmental Assessment (EA) resulting in a Finding of No Significant Impact (FONSI), Environmental Impact Statement (EIS) resulting in a Record of Decision (ROD), or Categorical Exclusion (CE). For state-funded projects, the projects will be processed as an Environmental Exclusion (EE), Environmental Finding (EF), or Environmental Record (ER).

Stage 1 activities (planning and environmental process) can be conducted by a consultant or a staff of DOTD personnel. In either case, DOTD's environmental section will assume the lead role in the process. For simple or programmatic projects (usually CE/EE projects), a single project manager will be assigned to the project. This person could come from headquarters or district staff. If the project is complex, it will usually be assigned to two project managers from the DOTD staff; one responsible for planning/environmental phase (Stage 1) and the other responsible for all other project development phases (Stage 2, Stage 3, and Stage 4). For these type projects, it is common to utilize the services of one or more consulting firms.

The following figure depicts various possibilities involved in the management of the Stage 1 process. The first step in the process is the determination of the type of environmental action (EA/EF, EIS/ER, or CE/EE). This responsibility is vested with the DOTD Environmental Engineering Administrator. Next is the decision regarding how the project is to be conducted: in house or by a consultant. And the final step is the appointment of the project manager or the project managers.



### Stage 1 Activities

The above diagram results in the following three scenarios:

- EA or EIS efforts performed by one or more consulting firms under the direction of a PM and a small project team from DOTD.
- EA performed by DOTD staff with possible participation by specialized consultants from the private sector.
- CE evaluation performed by a team of DOTD staff (PM from either headquarters or district) with possible participation by specialized consultants from the privatized sector

#### 1.1 EA & EIS Performed by Consultants

Large planning and environmental projects require allocation of a substantial amount of human capital. Due to lack of manpower at DOTD, such projects are awarded to consultant firms with demonstrated expertise in NEPA environmental processing and location engineering. When such a consulting firm is utilized, DOTD will have the responsibility to guide, direct, and approve some of the activities performed by the firm. When a team of consultants is utilized for project planning with EA or EIS components, a small project team consisting of DOTD staff must be assembled to work with the consulting team in the development of the project. The steps to assemble such a project team are:

1. Deputy Assistant Secretary for Planning and Programming (DASPP), Chief Project Development Engineer (CPDE), and the appropriate program manager (PGM) meet to discuss specifics of the project and to plan for the appointment of project managers.
2. DASPP appoints a project manager (PM) from the Office of Planning and Programming (PMPP).
3. CPDE appoint a PM from the Project Development Division (PMDD).
4. PMPP assumes the lead role for Stage 1 activities.
5. The PMs meet and conduct preliminary discussion as to their cooperative agenda.
6. Each PM studies the go/no-go document from Stage 0 in addition to all other relevant information to become fully familiar with the project scope and conditions unique to the project.
7. The PMs meet and establish a preliminary Project Plan (see Appendix I for more information). This plan will include the outline of a scope of work for Stage 1 activities. This scope of work will identify tasks to be performed by the consultants and those to be performed in-house by the DOTD staff.
8. The PMs meet with Consulting Selection Engineer to discuss plans for advertising for consultants.
9. The PMs meet with managers of various functional areas (road, bridge, right-of-way, ....) to seek input regarding the Project Plan and to discuss appointment of team members for Stage 1 activities.
10. PMPP finalizes scope of work, establishes preliminary time line for Stage 1 activities and develop an estimate for the consultant fee.
11. PMs meet with the “banker” to discuss means of finance for Stage 1 activities.
12. PMPP contacts appropriate state and federal resource agencies to alert them of the pending project and advises them of expectations regarding the level of efforts needed.
13. PMs proceed with the consultant selection process by playing an active role in the selection process.

14. PMs negotiate the consultant contract with regard to the scope, cost, and timelines. Subsequently issue Notice to Proceed in a timely manner.
15. PMPP develops a detailed schedule of activities using the Program Project Management System (PPMS).
16. PMPP, with assistance from PMDD, identifies candidate task managers for various project tasks.
17. PMPP negotiates assignment of DOTD task managers with appropriate functional managers. PMPP finalizes assignment of task managers.
18. PMs hold a project initiation meeting with all team members and map out the project plan.
19. PMs finalize the financial plans with the “banker.”
20. Project is initiated.

## **1.2 EA Performed by DOTD Staff**

When a decision is made to conduct a Stage 1 project in-house with an EA outcome, the department makes a substantial commitment of labor to that project. It is important to ensure that such a commitment would not adversely affect other on-going commitments. The team building process in such a case should follow these steps:

1. Deputy Assistant Secretary for Planning and Programming (DASPP), Chief Project Development Engineer (CPDE) and the appropriate program manager (PGM) meet to discuss specific of the project and to plan for the appointment of project managers.
2. DASPP appoints a project manager (PM) from the Office of Planning and Programming (PMPP)
3. CPDE appoints a PM from the Project Development Division (PMDD).
4. PMPP assumes the lead role for Stage 1 activities.
5. The PMs meet and conduct preliminary discussion as to their cooperative agenda.
6. Each PM studies the go/no-go document from Stage 0 in addition to all other relevant information to become fully familiar with the project scope and conditions unique to the project.

7. The PMs meet and establish a preliminary Project Plan (see Appendix I for more information). This plan will include the outline of a scope of work for Stage 1 activities. This scope of work will identify tasks to be performed by DOTD staff from headquarter and districts.
8. The PMs meet with managers of various functional areas (road, bridge, right-of-way, ....) to seek input regarding the Project Plan and to discuss appointment of team members for Stage 1 activities.
9. PMPP finalizes scope of work, establishes preliminary time line for Stage 1 activities, and develops an estimate for Stage 1 cost.
10. PMs meet with the “banker” to discuss means of finance for Stage 1 activities.
11. PMPP contacts appropriate state and federal resource agencies to alert them of the pending project and advises them of expectations regarding the level of efforts needed.
12. PMPP develops a detailed schedule of activities using PPMS.
13. PMPP, with assistance from PMDD, identifies candidate task managers for various project tasks.
14. PMPP negotiates assignment of DOTD task managers with appropriate functional managers. PMPP finalizes assignment of task managers.
15. PMs hold a project initiation meeting with all team members and map out the project plan.
16. PMs finalize the financial plans with the “banker.”
17. Project is initiated.

### **1.3 CE Performed by DOTD Staff**

CE projects usually do not require detailed planning and environmental analysis. These projects are mostly programmatic in nature and are conducted on annual or regular bases. For example, a simple bridge replacement project or an overlay project can be accomplished with minimum planning. As such, the project can rapidly move from Stage 1 to Stages 2 and 3. Normally these types of projects are handled in-house with minimum assistance from the consulting community. These type projects are managed by a single project manager and such person usually comes from the headquarters or district design staff. The team building process in such a case should follow the following steps:

1. Chief Project Development Engineer (CPDE) and the appropriate program manager (PGM) meet to discuss specific of the project and to plan for the appointment of a project manager. If the project is to be managed by a district design engineer, the appropriate District Administrator (DA) will also meet with CPDE and PGM.
2. CPDE or DA appoints a project manager (PMDD) from the Project Development Division or the appropriate district.
3. PMDD contacts DOTD Environmental Engineer to plan necessary steps towards meeting the requirements for the CE. This early involvement is required so that the environmental process necessary to complete a CE can be built into the Project Plan.
4. PMDD becomes familiar with all project related information regarding the project scope and conditions unique to the project. PMDD meets with the PGM to discuss project-specific issues.
5. PMDD establishes a preliminary Project Plan (see Appendix I for more information). This plan will include the outline of a scope of work for Stage 1 and 3 activities. This project plan must clearly identify all activities to be performed in Stage 1 and those to be performed in Stage. This scope of work will further identify tasks to be performed by DOTD staff from headquarters and the district. **Identified Stage 3 activities are not to be undertaken while the project is in Stage 1.**
6. PMDD meets with managers of various functional areas (road, bridge, right-of-way, etc.) to seek input regarding the Project Plan and to discuss appointment of team members for Stage 1 and 3 activities. **Appointment of project team members at this point is not to be interpreted as initiating Stage 3 activities while the project is in Stage 1.**
7. PMDD finalizes scope of work, establishes preliminary time line for Stage 1 activities and develops an estimate for Stage 1 cost.
8. PMDD develop a detailed schedule of activities using the Program Project Management System (PPMS) and identifies candidate task managers for various project tasks.
9. PMDD negotiates assignment of DOTD task managers with appropriate functional managers. PMDD finalizes assignment of task managers.

10. PMDD holds a project initiation meeting with all team members and maps out the project plan.
11. PMDD finalizes the financial plans with the “banker.”
12. Project is initiated.